

PTO/SB/21 (02-04)

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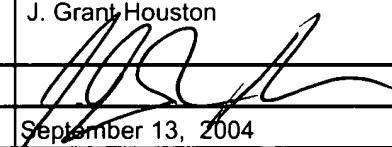
## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/816,110
		Filing Date	April 1, 2004
		First Named Inventor	Huwie Tan
		Art Unit	3736
		Examiner Name	Not yet assigned
Total Number of Pages in This Submission	218	Attorney Docket Number	0010.0010US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Remarks _____		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	J. Grant Houston
Signature	
Date	September 13, 2004

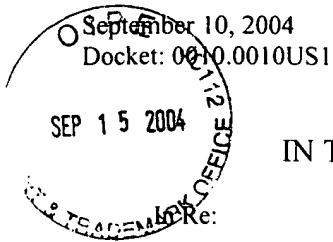
### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Claire J. Handalian		
Signature		Date	September 13, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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September 10, 2004  
Docket: 0810.0010US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Huwei Tan	Patent Application
Serial No: 10/816,110	Confirmation No: 8501
Filed: April 1, 2004	Group: 3736
For: Method and System for Dual Domain Discrimination of Vulnerable Plaque	Examiner: Not yet assigned

\*\*\*\*\*  
CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

By: Claire J. Handalian Sept. 13, 2004  
Claire J. Handalian Date

\*\*\*\*\*  
INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)

under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

under 37 CFR 1.97(c) together with either:  
 a Statement under 37 CFR 1.97(e), as checked below, or  
 a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

under 37 CFR 1.97(d) together with:  
 a Statement under 37 CFR 1.97(e), as checked below, and  
 a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

Copies of the cited references are enclosed except US patent references.

References cited were entered in prior application, U.S. Application No. \_\_\_\_\_, to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]

The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:

- the explanation provided on the attached sheet.
- the explanation provided in the Specification.
- submission of the enclosed International Search Report.
- submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- the enclosed English language abstract.

Examiner's Initials      Applicant requests that the following non-published pending applications be considered:

September 10, 2004  
Docket: 0010.0010US1

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

Examiner \_\_\_\_\_ Date \_\_\_\_\_

A copy of each above-cited application, including the current claims, is enclosed.  
 A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

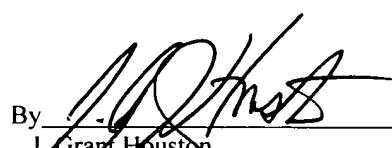
The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

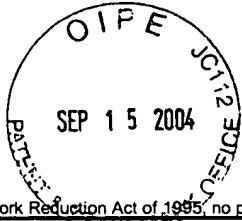
Method of payment:

A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.  
 Please charge Deposit Account 502 233 in the amount of \$[ ]. A copy of this Statement is enclosed.  
 Please charge any deficiency in fees and credit any overpayment to Deposit Account 502 233.  
 No fee is required.

Respectfully submitted,

By   
J. Grant Houston  
Registration No. 35,900  
Houston Eliseeva LLP  
4 Militia Drive, Ste. 4  
Lexington, MA 02421  
Telephone: 781-863-9991  
Facsimile: 781-863-9931

Dated: 9/13/04



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**Substitute for form 1449/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Sheet 1 of 2

<i>Complete if Known</i>	
Application Number	10/816,110
Filing Date	April 1, 2004
First Named Inventor	Huwei Tan
Art Unit	3736
Examiner Name	Not yet assigned
Attorney Docket Number	0010.0010US1

U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

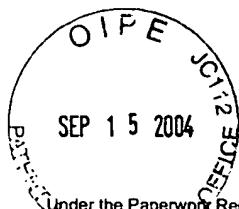
FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
		WO 01/60246 A2	08-23-2001	Argose, Inc.	
		WO 03/000015 A2	01-03-2003	Science Applications Intern'l	
		WO 03/041481 A2	05-22-2003	Bengurion Univ. of the Negev	

Examiner Signature		Date Considered	
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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>2</sup>Applicant's unique citation designation number (optional). <sup>3</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>4</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
Substitute for form 1449/PTO				<b>Application Number</b> 10/816,110	<b>Filing Date</b> April 1, 2004
				<b>First Named Inventor</b> Huwei Tan	<b>Art Unit</b> 3736
				<b>Examiner Name</b> Not yet assigned	
Sheet	2	of	2	<b>Attorney Docket Number</b> 0010.0010US1	

<b>NON PATENT LITERATURE DOCUMENTS</b>				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
		Tan, Huawei et al., "Dual-domain regression analysis for spectral calibration models," Journal of Chemometrics, J. Chemometrics 17:111-122 (2003).		
		Tan, Hu-Wei et al., "Wavelet analysis applied to removing non-constant, varying spectroscopic background in multivariate calibration," Journal of Chemometrics, J. Chemometrics, 16: 228-240 (2002).		
		Mittermayr, C.R. et al., "Robust Calibration with Respect to Background Variation," Applied Spectroscopy, Volume 55, Number 7 (2001).		
		Alsberg, Bjorn K., "Multiscale Cluster Analysis," Analytical Chemistry, Vol. 71, No. 15, August 1, 1999.		
		Varmuza, K., "Applied Chemometrics: From Chemical Data to Relevant Information," Laboratory for Chemometrics, Vienna University of Technology, Getreidemarkt 9/160, A-1060, Vienna, Austria, 1st Conference on Chemistry, Cairo University - Chemistry Department, March 6-9, 2000, pp. 1-17, Nov. 2, 2001 Version		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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